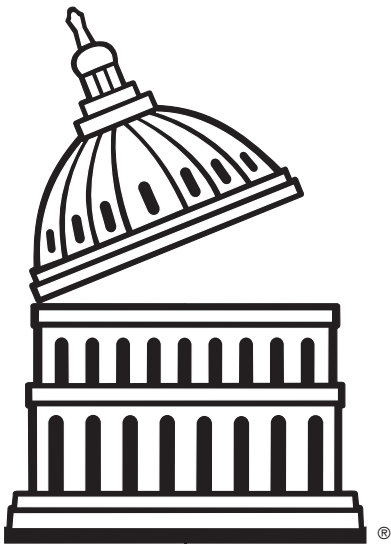


Winter 2008 Volume 21, Number 1

Financial

YELLOW BOOK

who's who at
the leading
U.S. financial
institutions



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who's who in congress,
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who's who in the leading city and county governments
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FINANCIAL YELLOW BOOK

Winter 2008, Volume 21, Number 1

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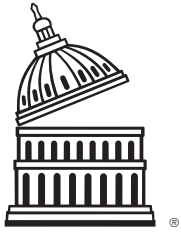
YELLOW BOOK

Winter 2008

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The Financial ACCOUNT

by Rohini T. Shivprashad
Editor, *Financial Yellow Book*

November 28, 2007

The *Financial Yellow Book*, published semiannually, brings you accurate and up-to-date information on over 570 public and private financial companies in the United States. This edition provides access to more than 27,500 executives and 4,400 board members.

We select leading financial companies for the *Financial Yellow Book* using the following criteria: assets or assets managed for commercial banks and bank holding companies, credit unions, money management companies, and thrifts; total consolidated capital for brokerage firms; dollar amount of mortgages originated or serviced for mortgage companies; premiums written for life and health insurance companies and property and casualty insurance companies; market capitalization for real estate investment trusts; number of initial investments in U.S.-based and overseas companies, as well as assets or assets managed, for venture capital firms; importance or distinction within their field for other companies, including commercial and consumer finance companies, leveraged buyout firms, private and family investment firms, hedge funds, and securities underwriters.

The Leadership Directories Pledge

Leadership Directories updates and publishes content depicting the nearly half million people who lead over 40,000 major government, business, professional, and nonprofit institutions in the United States. Every item of information in every listing has been verified at the source.

Financial Yellow Book on the Internet

The *Financial Yellow Book* is available over the Internet by annual subscription as part of *The Leadership Library® on the Internet*, where it is updated daily. Highlights of these changes are available on our web site at www.leadershipdirectories.com.

New Companies

The following companies have been added since the publication of the Summer 2007 edition:

Discover Financial Services
The First American Corporation
Metavante Technologies, Inc.

Completed Mergers

The following mergers have been completed since the publication of the Summer 2007 edition:

Acquirer

Bank of America Corporation
Bank of America Corporation
Banco Bilbao Vizcaya Argentaria S.A. [BBVA]
Huntington Bancshares Incorporated
Liberty Mutual Holding Company Inc.
Merrill Lynch & Co., Inc.
Morgan Stanley Real Estate Funds
National City Corporation
Tishman Speyer and Lehman Brothers Inc.
Wachovia Corporation
Wells Fargo & Company

Acquired

LaSalle Bank Corporation
U.S. Trust Corporation
Compass Bancshares, Inc.
Sky Financial Group, Inc.
Ohio Casualty Corporation
First Republic Bank
Crescent Real Estate Equities Company
MAF Bancorp, Inc.
Archstone-Smith
A.G. Edwards Inc.
Greater Bay Bancorp

The Bank of New York Company, Inc. and Mellon Financial Corporation merged to form The Bank of New York Mellon Corporation.

Chicago Mercantile Exchange Holdings Inc. and CBOT Holdings, Inc. merged to form CME Group Inc.

ABN AMRO Holding N.V. was acquired by a consortium comprised of The Royal Bank of Scotland Group plc, Banco Santander Central Hispano, S.A. and Fortis N.V.

Nuveen Investments, Inc. was acquired by an investor group majority-led by Madison Dearborn Partners, LLC.

Pending Mergers

The following mergers were pending at press time:

Acquirer

Eurex
Fifth Third Bancorp
GE Capital Solutions
The Nasdaq Stock Market, Inc.
The Nasdaq Stock Market, Inc.
People's United Financial, Inc.
The Toronto-Dominion Bank

Acquiree

International Securities Exchange Holdings, Inc.
First Charter Corporation
PHH Corporation
Boston Stock Exchange, Incorporated
The Philadelphia Stock Market Exchange, Inc.
Chittenden Corporation
Commerce Bancorp, Inc.

Company Name Changes

The following companies have changed their name since the publication of the Summer 2007 edition:

Former Name

Health Care Property Investors, Inc.

Present Name

HCP, Inc.

Chief Executive Officer Changes

The following companies have changed chief executive officers since publication of the Summer 2007 edition. The chart below lists each company's name, the former chief executive with his or her current title and status, and the current chief executive with his or her full title and previous position.

Company	Former CEO	Current CEO
Assurant, Inc.	Robert B. Pollock On administrative leave	J. Kerry Clayton Interim President and CEO <i>(Retired CEO)</i>
Citigroup Inc.	Charles O. Prince, III No longer with the company	Winfried F.W. "Win" Bischoff Interim CEO <i>(Currently Chairman, Citigroup Europe)</i>
Commerce Bancorp, Inc.	Vernon W. Hill II No longer with the company	Robert D. Falese, Jr. President and CEO <i>(Formerly President, Commercial and Investment Banking)</i>
Dollar Bank FSB	Stephen C. Hansen No longer with the company	Robert P. Oeler President and CEO <i>(Formerly President and COO)</i>
Eaton Vance Corp.	James B. Hawkes No longer with the company	Thomas E. Faust, Jr. Chairman and CEO <i>(Formerly President and Chief Investment Officer)</i>
Erie Indemnity Company	Jeffrey A. Ludrof Board Member	John J. Brinling, Jr. Interim President and CEO <i>(Formerly Executive Vice President, Erie Family Life Insurance Company)</i>
Federal Home Loan Bank of Atlanta	William Ott No longer with the company	Richard Dorfman President and CEO <i>(Formerly Consultant)</i>
Federal Home Loan Bank of Indianapolis	Brian K. Fike SVP, Member Services	Milton J. Miller, II President and CEO <i>(Retired SVP & CFO)</i>
Federal Reserve Bank of Chicago (IL)	Michael H. Moskow No longer with the company	Charles L. Evans President and CEO <i>(Formerly Senior Vice President and Director, Research and Corporate Communications)</i>
Fidelity National Financial, Inc.	William P. Foley, II Chairman	Alan L. Stinson CEO <i>(Formerly Co-COO)</i>

(continued on next page)

Chief Executive Officer Changes – continued

Company	Former CEO	Current CEO
Fremont General Corporation	Louis J. Rampino No longer with the company	Stephen H. Gordon Chairman and CEO <i>(Currently Chairman and CEO, Vitruvian Group, LP)</i>
Host Hotels & Resorts, Inc.	Christopher J. Nassetta No longer with the company	W. Edward Walter President and CEO <i>(Formerly EVP & CFO)</i>
International Monetary Fund	Rodrigo de Rato y Figaredo No longer with the company	Dominique Strauss-Kahn Managing Director <i>(Formerly Deputy, National Assembly, French Republic)</i>
Lincoln Financial Group	Jon A. Boscia No longer with the company	Dennis R. Glass CEO <i>(Formerly President and COO)</i>
Merrill Lynch & Co., Inc.	E. Stanley O’Neal No longer with the company	John A. Thain Chairman and CEO <i>(Formerly CEO, NYSE Euronext)</i>
National City Corporation	David A. Daberko Chairman	Peter E. Raskind President and CEO <i>(Formerly President)</i>
NYSE Euronext	John A. Thain No longer with the company	Duncan L. Niederauer CEO <i>(Formerly President, Co-COO and Head, U.S. Cash Markets)</i>
People’s United Financial, Inc.	John A. Klein On leave of absence	Philip R. Sherringham Acting CEO and President <i>(Currently EVP & CFO)</i>
Starwood Hotels & Resorts Worldwide, Inc.	Bruce W. Duncan Chairman	Frits van Paasschen CEO <i>(Formerly President and CEO, Coors Brewing Company)</i>
UBS AG	Peter Wuffli No longer with the company	Marcel Rohner Group CEO <i>(Formerly Deputy CEO)</i>
The Union Central Life Insurance Company	John H. Jacobs Chairman	Gary T. Huffman President and CEO <i>(Formerly President and COO)</i>

Chief Executive Officer Changes – continued

Company	Former CEO	Current CEO
Wells Fargo & Company	Richard M. Kovacevich Chairman	John G. Stumpf President and CEO <i>(Formerly President and COO)</i>
The World Bank Group	Paul D. Wolfowitz No longer with the company	Robert B. Zoellick President <i>(Formerly Vice Chairman, International, The Goldman Sachs Group, Inc.)</i>

Geographical Analysis

The following is a breakdown of the leading states in which main companies in the *Financial Yellow Book* are located.

State	Number of Companies
New York	111
California	70
Massachusetts	35
Illinois	34
Texas	26
Pennsylvania	23
Ohio	22
Connecticut	16
New Jersey	15
Washington, D.C.	15
Virginia	11
Wisconsin	10
Missouri	9
Indiana	9
Maryland	9
Michigan	9
Washington	9
Florida	8
North Carolina	8
Minnesota	8
Colorado	7

The *Financial Yellow Book* has a companion directory, the *Corporate Yellow Book*, which covers the leading U.S. manufacturers, service businesses, and utilities.

We have verified all information in the *Financial Yellow Book* directly with the companies listed. We thank those individuals at the companies who have assisted us with our research and verification.

Comments and suggestions for future editions are welcome and appreciated. We can be reached by e-mail at financial@leadershipdirectories.com.



User's Guide

The companies in the *Financial Yellow Book* are listed alphabetically in each section. The *Financial Yellow Book* is divided into four sections: **Financial Institutions**, **Government Financial Institutions**, **Accounting Firms**, and **Exchanges and Markets**. While most listings resemble the format of the sample shown below, some have a different structure depending on their ownership or hierarchy. If the profiled company has a parent, that information will be listed after the business description and may be cross-referenced in the *Corporate Yellow Book*.

1 Each listing begins with the company's official name and stock exchange and ticker symbol, if applicable. This is followed by the company's address, telephone and fax numbers, and e-mail and Internet addresses.

2 The **general information** section has a brief description of the financial services the company provides, as well as a rounded figure of assets or assets managed. It also indicates membership in the New York Stock Exchange (NYSE) for brokerage and underwriting firms.

3 The **chief officer** section contains a photograph of the company's chief executive officer, with his or her name, exact title, educational background, and date of birth.

4 The **key executives** section lists each officer of the company hierarchically. Officers with the same title are listed alphabetically. Any of the following information may be listed for each individual: (a) address, if different from the main address (b) telephone and facsimile numbers and e-mail address (c) educational background (d) executive assistant. Headings such as Senior Management or Executive Management Group reflect each organization's management structure.

5 The **administrative services** section lists the managers of departments and services, such as benefits; corporate communications; corporate contributions; foundations; government affairs; information systems; libraries and information centers; meetings, events, and conferences; purchasing; real estate and facilities; recruitment; shareholder relations; and training and development. Information includes the manager's name, exact title, address, direct-dial telephone and fax numbers, and e-mail address.

6 The **major subsidiaries and divisions** section lists key executives, administrative staff, and the board of directors of significant subsidiaries and divisions. It includes addresses, telephone and fax numbers, e-mail and Internet addresses, and business descriptions. Photographs, education, and dates of birth are listed for chief executive officers.

M&T Bank Corporation	
<p>M&T Bank Corporation NYSE: MTB</p> <p>One M&T Plaza, Buffalo, NY 14203-2399 Tel: (716) 842-5445 Fax: (716) 842-4306 Fax: (716) 842-5220 E-mail: custserv@mandtbank.com Internet: www.mandtbank.com</p> <p>Business Description: M&T Bank Corporation is a bank holding company whose principal banking subsidiaries are Manufacturers and Traders Trust Company and M&T Bank, National Association.</p> <p>Number of Employees: 13,000 Assets: Over \$56 billion</p> <div style="display: flex; align-items: center;">  <div> <p>Robert G. Wilmers Chairman and Chief Executive Officer</p> <p>Date of Birth: April 20, 1934 Education: Harvard 1956 BA</p> </div> </div> <p>Officers and Management</p> <p>Chairman and Chief Executive Officer Robert G. Wilmers* (716) 842-5425 E-mail: rwilmers@mandtbank.com</p> <p>Vice Chairman Jorge G. Pereira* (212) 350-2496 350 Park Avenue, New York, NY 10022 E-mail: jpereira@mandtbank.com</p> <p>Vice Chairman Michael P. Pinto* (410) 244-4486 E-mail: mpinto@mandtbank.com Fax: (410) 244-4459 Education: U Delhi (India); Wharton MBA</p> <p>Vice Chairman Robert E. Sadler, Jr.* (716) 842-5786 E-mail: rsadler@mandtbank.com Education: Washington and Lee 1967</p> <p>President Mark J. Czarniecki* (716) 842-5291 E-mail: mczarniecki@mandtbank.com</p> <p>Executive Vice President James J. Beardi (716) 848-3566 E-mail: jbeardi@mandtbank.com</p> <p>Executive Vice President and Chief Credit Officer Robert J. Bojidak (716) 848-3375 E-mail: rbojidak@mandtbank.com Education: Georgetown; Michigan MBA</p> <p>Executive Vice President Stephen J. Braunschaidel (716) 842-2307 E-mail: sbraunschaidel@mandtbank.com</p> <p>Executive Vice President Atwood Collins III (410) 244-4454 25 South Charles Street, Baltimore, MD 21201 E-mail: acollins@mandtbank.com Education: Yale 1969 BA</p> <p>Executive Vice President Brian E. 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Wheeler (716) 842-5986 E-mail: im@mandtbank.com Fax: (716) 842-4306</p> <p>Major Subsidiaries and Divisions Manufacturers and Traders Trust Company [M&T Bank] One M&T Plaza, Buffalo, NY 14203-2399 Tel: (716) 842-4200 Fax: (716) 842-5376</p> <p>Business Description: Manufacturers and Traders Trust Company, a subsidiary of M&T Bank Corporation, is a commercial bank providing general banking services in New York State, Pennsylvania, Virginia, Washington D.C., Maryland and West Virginia. The company's subsidiaries provide securities brokerage, leasing, and mortgage services.</p> <p>Assets: Over \$10 billion</p> <p>Officers and Management Chairman and Chief Executive Officer Robert G. Wilmers* (716) 842-5425 E-mail: rwilmers@mandtbank.com</p> <p>Vice Chairman of the Board Jorge G. Pereira* (212) 350-2496 350 Park Avenue, New York, NY 10022</p> <p>Vice Chairman and Chief Executive Officer, Mid-Atlantic Division Michael P. Pinto* (410) 244-4486 E-mail: mpinto@mandtbank.com Fax: (410) 244-4459</p> <p>Board of Directors (M&T Bank Corporation)</p> <p>Brent D. Baird Director Affiliation: President, First Carolina Investors, Inc.</p> <p>Robert J. Bennett Director Affiliation: Principal, Wooded Valley Estates, LLC II Education: Babson 1963 BS; Massachusetts 1966 MBA Career: Chairman, M&T Bank Corporation (1998-2000)</p> <p>C. Angela Bontempo Director Affiliation: President and Chief Executive Officer, St. Vincent Health System</p> <p>Robert T. Brady Director Affiliation: Chairman and Chief Executive Officer, Moog, Inc. P.O. Box 18, East Aurora, NY 14052 Tel: (716) 652-2000 E-mail: rbrady@moog.com Education: MIT 1962 BS; Harvard 1966 MBA</p>
* Board Member	
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7 The **board of directors** section lists the members of boards of directors alphabetically and provides their outside affiliations, contact information, education, and career.

(continued on next page)

Indexes

The *Financial Yellow Book* has four indexes to help you locate the information you need. Page numbers follow each company or individual listed.

- ▶ The **Industry Index** lists all parent organizations and selected subsidiaries and divisions alphabetically by industry category. An organization may appear under multiple categories. Parent organizations appear in italics.
- ▶ The **Geographical Index** has three sections. The first lists all parent organizations, subsidiaries, and divisions located in the U.S. alphabetically by state, and by city within each state. The second lists all parent organizations, subsidiaries, and divisions in the U.S. territories alphabetically by territory, and by city within each territory. The third lists parent organizations, subsidiaries, and divisions outside of the U.S. alphabetically by country, and by city within each country. Parent organizations appear in italics.
- ▶ The **Name Index** lists all individuals alphabetically by name.
- ▶ The **Organization Index** lists all parent organizations and subsidiaries alphabetically by name. Parent organizations appear in italics.

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Ownership: Private

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Business Description: Accel Partners is a private venture capital partnership that invests in the information services, telecommunications, software and the internet and intranet industries.

Assets Managed: Over \$3 billion

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Ownership: Private

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E-mail: info@adamsstreetpartners.com
Internet: www.adamsstreetpartners.com

Business Description: Adams Street Partners, LLC is a private equity investment firm providing both partnership and direct investment services to institutional clients.

Assets Managed: Over \$10 billion



T. Bondurant French

Chief Executive Officer and Chief Investment Officer

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(continued on next page)

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Ownership: Private

100 Van Ness Avenue, San Francisco, CA 94102
Tel: (415) 565-2012 Fax: (415) 864-1531

Business Description: California State Automobile Association Inter-Insurance Bureau, a subsidiary of California State Automobile Association, provides property and casualty insurance.



James R. Pouliot
Chief Executive Officer

Officers and Management

Chair **Robert N. Barone*** (415) 565-2012
Vice Chair **Vivian M. Stephenson*** (415) 565-2012
Education: NYU; Havana MBA
Chief Executive Officer **James R. Pouliot*** (415) 565-2012
President **Paula F. Downey** (415) 565-2012
E-mail: Paula_Downey@csaa.com
Senior Vice President, People and Performance
Marie Andel (415) 565-2012
E-mail: marie_andel@csaa.com
Senior Vice President, Corporate and Legal Affairs
Jamie E. Chung (415) 565-2012
E-mail: Jamie_E_Chung@csaa.com
Education: Pomona 1987 BA; Harvard 1990 JD
Senior Vice President and Chief Financial Officer
Michael Day (415) 565-2012
E-mail: michael_day@csaa.com
Senior Vice President and Chief Information Officer
Sally Grant (415) 565-2012
E-mail: Sally_Grant@csaa.com
Senior Vice President, Customer and Brand Management
Alexandra Morehouse (415) 565-2012
E-mail: Alexandra_Morehouse@csaa.com
Senior Vice President and Chief Delivery Officer
Robert D. Wilkes (415) 565-2012
E-mail: bob_wilkes@csaa.com
Vice President, Legal **Eileen F. Braunreiter** (415) 565-2012
E-mail: eileen_braunreiter@csaa.com
Vice President, Administrative Services and Chief Procurement Officer
Anthony Durante (415) 565-2012
E-mail: anthony_durante@csaa.com Fax: (415) 621-1023
Manager, Security Services **Cary Takagawa** (415) 565-2012
E-mail: cary_takagawa@csaa.com Fax: (415) 865-5423
Manager, Diversity Outreach and Corporate Contributions
Ginny Yamate (415) 565-2012
E-mail: Ginny_Yamate@csaa.com

Administrative Services

Benefits

Manager I, Human Resources **Jon Takagaki** (415) 565-2012
E-mail: jon_takagaki@csaa.com

Corporate Contributions

Manager, Diversity Outreach and Corporate Contributions
Ginny Yamate (415) 565-2012
E-mail: Ginny_Yamate@csaa.com

Government Affairs

Manager, Government Affairs **Rich Shrader** (916) 443-2577
E-mail: Richard_Shrader@csaa.com Fax: (916) 448-1145

Information Systems

Director, Security Services and Information Technology
Robert Frank (602) 467-7445
E-mail: Robert_Frank@csaa.com Fax: (602) 467-7919

Library/Information Center

Marketing Analyst III, Member and Brand Experience
Janet Baker (415) 565-3492
E-mail: janet_baker@csaa.com

Meetings, Events and Conferences

Manager, Corporate Events **Leatrice Ford** (415) 565-2012
E-mail: lee_ford@csaa.com

Purchasing

Vice President, Administrative Services and Chief Procurement Officer
Anthony Durante (415) 565-2012
E-mail: anthony_durante@csaa.com Fax: (415) 621-1023

Real Estate and Facilities

Vice President, Real Estate Project Management and Services
Helen Vu (415) 565-2012
E-mail: helen_vu@csaa.com Fax: (415) 621-1023

Recruitment

Manager II, Human Resources **Dale B. Guest** (415) 565-2012

Board of Directors

(California State Automobile Association Inter-Insurance Bureau)

Robert N. Barone Director [Inside]
Paula R. Collins Director
Edgar H. Grubb Director
Education: Penn State; Cal State (Fullerton) MBA
Norma J. Howard Director
Sylvester Lucena Director
Wayne R. Moon Director
Kenneth Nilsson Director
Wendy Paskin-Jordan Director
James R. Pouliot Director [Inside]
Leo Soong Director
Vivian M. Stephenson Director [Inside]
Stephen H. Wainwright Director
Shirley A. Ward Director
Daniel K. Whitehurst Director
Robert E. Wilcox Director
Affiliation: Consulting Actuary, R.E. Wilcox & Company
1876 North Fort Canyon Road, Alpine, UT 84004
Tel: (801) 492-1419
Career: Insurance Commissioner, Insurance Department, State of Utah (1993-1996)
Kline A. Wilson, Jr. Director

* Board Member

Officers and Management *continued*

Senior Vice President and Chief Financial Officer

David A. Commons (214) 953-4000
 E-mail: dcommons@firstsw.com Fax: (214) 953-8790
 Education: Southern Methodist;
 Northwestern MBA

Senior Vice President, TexStar, Money Markets

Mary Ann Dunda (214) 953-4086
 E-mail: mdunda@firstsw.com
 Education: Texas A&M BF

Senior Vice President and Chief Compliance Officer

Scott O. Fertig (214) 953-4084
 E-mail: sfertig@firstsw.com Fax: (214) 953-8736
 Education: South Dakota BS

Senior Vice President, Human Resources

Crystal D. Gray (214) 953-4156
 E-mail: cgray@firstsw.com Fax: (214) 953-4065
 Education: Northwood BBA

Senior Vice President, Operations **Donald G. Karas** (214) 953-4137
 E-mail: dkaras@firstsw.com Fax: (214) 953-4130
 Education: Morton

Senior Vice President **Scott D. McIntyre** (512) 481-2009
 E-mail: smcintyre@firstsw.com Fax: (512) 481-2010
 Education: Southwest Texas State BS

Senior Vice President, Information Technology
James M. Phillips (214) 953-4198
 E-mail: jphillips@firstsw.com Fax: (214) 953-4177
 Education: Oklahoma State BS

Senior Vice President and General Counsel
Nancy A. Thomas (214) 953-8813
 E-mail: nthomas@firstsw.com Fax: (214) 953-4166
 Education: Baylor BS, JD

Senior Vice President **Shelley Weiske** (214) 953-8756
 E-mail: sweiske@firstsw.com Fax: (214) 840-5040
 Education: Ashland BBA

Vice President **Antoinette Labarre** (214) 953-4049
 E-mail: alabarre@firstsw.com Fax: (214) 840-5040
 Education: Texas (Arlington) BS

Vice President **Nora Wittstruck** (214) 953-4073
 E-mail: nwittstruck@firstsw.com Fax: (214) 953-4050
 Education: Truman State BA; North Texas MPA

Vice President **Rebecca Vega** (214) 953-4022
 E-mail: rvega@firstsw.com Fax: (214) 840-5040
 Education: Texas (Arlington) BBA

Administrative Services

Benefits

Senior Vice President, Human Resources
Crystal D. Gray (214) 953-4156
 E-mail: cgray@firstsw.com Fax: (214) 953-4065

Information Systems

Senior Vice President, Information Technology
James M. Phillips (214) 953-4198
 E-mail: jphillips@firstsw.com Fax: (214) 953-4177

Recruitment

Senior Vice President, Human Resources
Crystal D. Gray (214) 953-4156
 E-mail: cgray@firstsw.com Fax: (214) 953-4065

Major Subsidiaries and Divisions

First Southwest Leasing Company

325 North Saint Paul Street, Suite 800, Dallas, TX 75201
 Tel: (214) 953-4070
 Internet: www.carlylefinancialservices.com

Chairman and Chief Executive Officer

Hillel A. Feinberg (214) 953-4128
 E-mail: hfeinberg@firstsw.com Fax: (214) 720-9027
 President **Barry L. Friedman** (214) 953-4070
 E-mail: bfriedman@firstsw.com Fax: (214) 953-4072

First Southwest Leasing Company *continued*

Vice President **Dana Juergensen** (214) 953-4064
 E-mail: djuergensen@firstsw.com Fax: (214) 953-8790

First Southwest Asset Management, Inc.

325 North Saint Paul Street, Suite 800, Dallas, TX 75201

Tel: (214) 953-4000 Fax: (214) 840-5040

Internet: www.fsam.com

Assets Managed: Over \$3 billion

Chairman and Chief Executive Officer

Hillel A. Feinberg (214) 953-4128
 E-mail: hfeinberg@firstsw.com Fax: (214) 720-9027

Senior Vice President **Scott D. McIntyre** (512) 481-2009
 E-mail: smcintyre@firstsw.com Fax: (512) 481-2010

Vice President **Greg Warner** (512) 481-2012
 E-mail: gwarner@firstsw.com Fax: (512) 481-2010

MC Planning Systems

1021 Main Street, Suite 2200, Houston, TX 77002

Tel: (713) 651-9850 Fax: (713) 654-8678

Internet: www.mcplanning.com

Managing Director **Kevin Dorotik** (713) 651-9850
 E-mail: kdorotik@firstsw.com

Senior Vice President **Louis Pabor** (713) 651-9850
 E-mail: lpabor@firstsw.com

Vice President **Amy P. Schmidt** (713) 651-9850
 E-mail: aschmidt@firstsw.com

Assistant Vice President **Karl Kalkofen** (713) 651-9850
 E-mail: kkalkofen@firstsw.com

FirstFed Financial Corp.

NYSE: FED

401 Wilshire Boulevard, Santa Monica, CA 90401

Tel: (310) 319-6000

Internet: www.firstfedca.com

Business Description: FirstFed Financial Corp. is a thrift institution.**Assets Managed:** Over \$10 billion**Babette E. Heimbuch**

Chairman and Chief Executive Officer

Education: UC Santa Barbara BS

Officers and Management

Chairman and Chief Executive Officer

Babette E. Heimbuch* (310) 319-6016

* Board Member

Natixis North America Inc.

Nine West 57th Street, 36th Floor, New York, NY 10019
 Tel: (212) 891-6100 Fax: (212) 891-6295
 Internet: www.ixism.com

Business Description: Natixis North America Inc., also known as Natixis Capital Markets, is the U.S. holding company for IXIS Corporate and Investment Bank, which is in turn an affiliate of NATIXIS. The company, through its subsidiaries, provides financial products and services to institutional investors and customers.

Assets: Over \$42 billion



Luc de Clapiers
 President and Chief Executive Officer

Management

- Chairman **Anthony Orsatelli** 33 (1) 58.55.15.15
 47 quai d'Austerlitz, F-75648 Paris Cedex 13,
 France
- President and Chief Executive Officer **Luc de Clapiers** . . . (212) 891-6101
- Managing Director and Group Corporate Secretary
David L. Askren (212) 891-6152
 E-mail: david.askren@cm.natixis.com
- Managing Director, Internal Audit **William Gonyer** (212) 891-1926
- Managing Director, Human Resources **Lawrence Laier** . . . (212) 891-6165
- Managing Director, Facilities **Larry Lorber** (212) 891-6257
 E-mail: larry.lorber@cm.natixis.com
- Managing Director and Group Controller
Christian Pezeu (212) 761-6509
- Managing Director and Chief Compliance Officer
Joseph F. Vuolo (212) 891-1852

Administrative Services

Real Estate and Facilities

- Managing Director, Facilities **Larry Lorber** (212) 891-6257
 E-mail: larry.lorber@cm.natixis.com

Natixis Capital Markets Inc.

Nine West 57th Street, 36th Floor, New York, NY 10019
 Tel: (212) 891-6100 Fax: (212) 891-6288

Business Description: Natixis Capital Markets Inc. is the holding company for the capital markets subsidiaries of the Natixis North America Group.

- Chairman **Anthony Orsatelli** 33 (1) 58.55.15.15
 47 quai d'Austerlitz, F-75648 Paris Cedex 13,
 France
- President and Chief Executive Officer **Luc de Clapiers** . . . (212) 891-6101
- Managing Director and Co-Head, Capital Markets
Jean Dominjon (212) 891-6121
- Managing Director and Co-Head, Capital Markets
Ramine Rouhani (212) 891-6170
- Managing Director and Corporate Secretary
David L. Askren (212) 891-6152
 E-mail: david.askren@cm.natixis.com
- Managing Director and Head, Operations Department
William Branagh (212) 761-6579
- Managing Director, Risk Management
Paul Monaghan (212) 891-6238
- Managing Director and Chief Information Officer
Sylvain Pendaries (212) 891-1810
- Managing Director and Controller **Christian Pezeu** (212) 761-6509
- Managing Director and Chief Administrative Officer
Louis Pinto (212) 891-6159
 E-mail: louis.pinto@cm.natixis.com
- Managing Director, Credit **Sanjay Sharma** (212) 891-6210

Natixis Capital Markets Inc. continued

- Managing Director and Chief Compliance Officer
Joseph F. Vuolo (212) 891-1852

Natixis Commercial Paper Corp.

Nine West 57th Street, 36th Floor, New York, NY 10019
 Tel: (212) 891-6100 Fax: (212) 891-6263

Business Description: Natixis Commercial Paper Corp. issues commercial paper in the U.S.

- Chairman **Anthony Orsatelli** 33 (1) 58.55.15.15
 47 quai d'Austerlitz, F-75648 Paris Cedex 13,
 France
- President and Chief Executive Officer **Luc de Clapiers** . . . (212) 891-6101
- Managing Director **Ramine Rouhani** (212) 891-6170
- Managing Director and Treasurer **John Borgia** (212) 891-6160
- Managing Director and Chief Administrative Officer
Louis Pinto (212) 891-6159
 E-mail: louis.pinto@cm.natixis.com
- Corporate Secretary **David L. Askren** (212) 891-6152
 E-mail: david.askren@cm.natixis.com

Natixis Derivatives Inc.

Nine West 57th Street, 36th Floor, New York, NY 10019
 Tel: (212) 891-0600 Fax: (212) 891-6288

Business Description: Natixis Derivatives Inc. is an OTC derivatives dealer licensed by the SEC to conduct equity derivative transactions.

- Chairman **Anthony Orsatelli** 33 (1) 58.55.15.15
 47 quai d'Austerlitz, F-75648 Paris Cedex 13,
 France
- President and Chief Executive Officer **Luc de Clapiers** . . . (212) 891-6101
- Managing Director and General Securities Principal
Ramine Rouhani (212) 891-6170
- Managing Director and Principal, Operations
William Branagh (212) 761-6579
- Managing Director **Vuk Bulajic** (212) 891-6236
- Managing Director and Chief Administrative Officer
Louis Pinto (212) 891-6159
- Managing Director and Chief Compliance Officer
Joseph F. Vuolo (212) 891-1852
- Director and Finance Principal **John Papatsos** (212) 761-6508
- Director **Patricia Daly Ryzner** (212) 891-6100
- Corporate Secretary **David L. Askren** (212) 891-6152
 E-mail: david.askren@cm.natixis.com

Natixis Financial Products, Inc.

Nine West 57th Street, 36th Floor, New York, NY 10019
 Tel: (212) 891-6100 Fax: (212) 891-6288

Business Description: Natixis Financial Products, Inc. trades in capital markets and provides structured programs and stable-value products for institutional investors.

- Chairman **Anthony Orsatelli** 33 (1) 58.55.15.15
 47 quai d'Austerlitz, F-75648 Paris Cedex 13,
 France
- President and Chief Executive Officer **Luc de Clapiers** . . . (212) 891-6101
- Managing Director **Ramine Rouhani** (212) 891-6170
- Managing Director and Treasurer **John Borgia** (212) 891-6160
- Managing Director and Chief Administrative Officer
Louis Pinto (212) 891-6159
 E-mail: louis.pinto@cm.natixis.com
- Corporate Secretary **David L. Askren** (212) 891-6152
 E-mail: david.askren@cm.natixis.com

Natixis Funding Corp.

Nine West 57th Street, 36th Floor, New York, NY 10019
 Tel: (212) 891-6100 Fax: (212) 891-6294

Business Description: Natixis Funding Corp. offers investment products and structured transactions to municipalities that issue securities.

- Chairman **Anthony Orsatelli** 33 (1) 58.55.15.15
 47 quai d'Austerlitz, F-75648 Paris Cedex 13,
 France
- President and Chief Executive Officer **Luc de Clapiers** . . . (212) 891-6101
- Managing Director **Ramine Rouhani** (212) 891-6170

(continued on next page)

* Board Member

Major Subsidiaries and Divisions

SWS Financial Services, Inc.

1201 Elm Street, Suite 3500, Dallas, TX 75270-2180
Tel: (800) 241-7849 Fax: (214) 859-5500
E-mail: info@swsfinancial.com
Internet: www.swsfinancial.com

Business Description: SWS Financial Services, Inc. provides administrative and corporate-office support services to independent registered representatives.

Chief Executive Officer **James H. Ross** (800) 241-7849

Southwest Insurance Agency

1201 Elm Street, Suite 3500, Dallas, TX 75270-2180
Tel: (214) 859-1710 Tel: (866) 797-9025 Fax: (214) 859-6004

Contact **Mike Myers** (214) 859-1710

Southwest Securities, FSB

301 South Center, Arlington, TX 76010
Tel: (817) 861-3633
Internet: www.southwestsecuritiesfsb.com

Business Description: Southwest Securities, FSB provides banking services and financial tools including: interim construction lending, commercial lending, single family permanent loans, factoring of commercial accounts receivables, mortgage lending, mortgage company purchase loan division, secondary investments and local community banking.

Chairman **Dick Driscoll** (817) 861-3633
Chief Executive Officer **John L. Holt, Jr.** (817) 861-3633
Education: Texas (Arlington) BBA

Southwest Securities, Inc.

1201 Elm St., Ste. 3500, Dallas, TX 75270-2180
Tel: (214) 859-1800 Fax: (214) 859-6545
Internet: www.swst.com

Business Description: Southwest Securities, Inc. is a securities broker/dealer and securities clearing firm.

Member NYSE

President and Chief Executive Officer **James H. Ross** ... (800) 241-7849
Executive Vice President, Correspondent Clearing and
RIA Sales **Steve Samberg** (214) 859-1800
Chief Financial Officer **Stacy M. Hodges** (214) 859-1800
Chairman **William D. Felder** (214) 859-1800

Board of Directors (SWS Group, Inc.)

Don A. Buchholz Director [Inside]
Brodie L. Cobb Director
Affiliation: Managing Director, Presidio Financial Partners, LLC
Donald W. Hultgren Director [Inside]
Larry A. Jobe Director
Affiliation: Founder and Chairman, Legal Network Ltd.;
Founder and President, P 1 Resources, L.L.C.
425 Sixth Avenue, Suite 1830, Pittsburgh, PA 15219
Tel: (412) 201-7470 Fax: (412) 201-7475
Education: North Texas 1961 BBA
Career: Assistant Secretary of Commerce for Administration, United States Department of Commerce, Richard M. Nixon Administration (1969-1972)
R. Jan LeCroy Director
Career: President, Dallas Citizens Council
Frederick R. Meyer Director
Affiliation: Chairman of the Board, Aladdin Industries, Inc.

Board of Directors (SWS Group, Inc.) *continued*

Dr. Mike Moses Director
Affiliation: Vice Chairman, Higher Ed Holdings, LLC
Education: Austin State BA, MA;
Texas A&M (Commerce) EdD
Career: Commissioner of Education, Governor George W. Bush (R-TX), State of Texas (1995-1999); Deputy Chancellor, Texas Tech University System (1999-2000); School Superintendent, Dallas Independent School District/Board of Trustees, City of Dallas, Texas (2000-2004)
Jon L. Mosle, Jr. Director
Career: Director, Private Capital Management, Ameritrust Texas Corporation

Synovus Financial Corp.

NYSE: SNV

1111 Bay Avenue, 5th Floor, Columbus, GA 31901
P.O. Box 120, Columbus, GA 31902-0120
Tel: (706) 644-8212 Fax: (706) 649-2342
E-mail: snvir@synovus.com
Internet: www.synovus.com

Business Description: Synovus Financial Corp., is a diversified financial services holding company which through its subsidiaries, provides integrated financial services, including, banking, financial management, insurance, brokerage, mortgage, and leasing services.

Note: Synovus plans to spin-off its subsidiary, Total System Services, Inc. (TSYS) The spin-off is expected to close by mid December 2007.

Number of Employees: 12,000 **Assets:** Over \$34 billion

Officers and Management

Chairman of the Board and Chief Executive Officer
Richard E. Anthony* (706) 644-8212
Education: Alabama 1968 BS;
Virginia 1971 MBA
Executive Secretary **Toni Cash** (706) 644-8212
President and Chief Operating Officer
Frederick L. Green* (706) 644-8212
Education: South Carolina BS, MBA
Vice Chairman and Chief People Officer
Elizabeth R. James (706) 644-8212
Education: Auburn 1983 BA
Senior Executive Vice President, General Counsel and
Secretary **G. Sanders Griffith III** (706) 644-8212
Education: LaGrange 1974 BA; Georgia 1977 JD
Executive Vice President and Chief Retail Officer
Leila S. Carr (706) 644-2170
Education: Virginia 1983 BA
Executive Vice President and Chief Credit Officer
Mark G. Holladay (706) 644-8212
Education: Columbus Col 1978 BS; LSU 1986
Executive Vice President and Chief Financial Officer
Thomas J. Prescott (706) 644-8212
Education: Columbus Col 1976 BBA
Executive Vice President, Corporate Affairs
Calvin Smyre (706) 644-8212
Education: Fort Valley State 1970 BS
Executive Vice President and President, Financial
Management Services **Paul M. Todd** (706) 649-4261
Education: U Memphis 1991 BBA;
Vanderbilt 1993 MBA
Senior Vice President and Product Director
Donna Atkins (706) 644-8212
Education: S Connecticut State BA;
Massachusetts MBA

* Board Member

Securities Investor Protection Corporation [SIPC]

Ownership: Private

805 15th Street, NW, Suite 800, Washington, DC 20005-2215
 Tel: (202) 371-8300 Fax: (202) 371-6728
 Internet: www.sipc.org

Business Description: Securities Investor Protection Corporation (SIPC) was established by an act of Congress to provide certain protections to customers in the event of financial collapse of their broker-dealer.

Assets: Over \$1 billion



Stephen P. Harbeck
 President and Chief Executive Officer
 Education: Col Holy Cross BA; Cornell JD

Officers and Management

- Chairman **Armando J. Bucelo, Jr.*** (202) 371-8300
 Education: Miami BS, JD
- Vice Chairman **Todd Farha*** (202) 371-8300
 President and Chief Executive Officer
- Stephen P. Harbeck** (202) 371-8300
 Vice President, Operations and Finance
- Philip W. Carduck** (202) 371-8300

Board of Directors

(Securities Investor Protection Corporation)

- Armando J. Bucelo, Jr.** Director
 Career: Vice Chairman, Securities Investor Protection Corporation
- Todd Farha** Director [Inside]
- William H. Heyman** Director
 Affiliation: Vice Chairman and Chief Investment Officer, The Travelers Companies, Inc.
 385 Washington Street, St. Paul, MN 55102
 Tel: (651) 310-7911
 Education: Princeton 1970 BA; Harvard 1973 JD
- William S. Jasien** Director
 Career: Assistant Secretary, Finance and Management, United States Department of the Treasury
- David G. Nason** Director
 Affiliation: Assistant Secretary, Assistant Secretary for Financial Institutions, Under Secretary for Domestic Finance, United States Department of the Treasury
 1500 Pennsylvania Avenue, NW, Room 2326, Washington, DC 20220
 Tel: (202) 622-2610
 E-mail: david.nason@do.treas.gov
 Education: American U BS; Washington Col JD
- Mark S. Shelton** Director
 Affiliation: Managing Director and General Counsel, Wealth Management US [Co-Global General Counsel, Global Wealth Management and Business Banking], UBS AG (New York Branch), UBS AG
 101 Park Avenue, New York, NY 10178
 Tel: (212) 916-2000

Board of Directors (Securities Investor Protection Corporation) *continued*

- David J. Stockton** Director
 Education: Connecticut 1976 BA; Yale 1978 MPhil, 1983 PhD

Office of Thrift Supervision [OTS]

1700 G Street, NW, Washington, DC 20552
 Tel: (202) 906-6000 (General Information and Personnel Locator)
 Tel: (800) 842-6929 (Consumer Affairs Hotline)
 Tel: (202) 906-6193 (Procurement Information)
 Tel: (202) 906-6000 (Public Information) Fax: (202) 906-7755
 E-mail: public.info@ots.treas.gov
 Internet: www.ots.treas.gov

Department/Office Description: The Office of Thrift Supervision charts, regulates, examines, and supervises federal savings associations and holding companies in the United States in order to maintain their safety and soundness and compliance with consumer laws. Its operating funds are derived from supervisory assessments levied on regulated savings institutions.

Office of the Director

1700 G Street, NW, Washington, DC 20552
 Fax: (202) 898-0230

- Note:** The Director may continue to serve until reappointed or replaced.
- Director **John M. Reich** 5th Floor (202) 906-6590
 E-mail: john.reich@ots.treas.gov
 Education: Southern Illinois BS; South Florida MBA
- Counsel to the Director **Robert W. Russell** (202) 906-6579
 E-mail: robert.russell@ots.treas.gov
- Deputy Director and Chief Operating Officer
- Scott M. Polakoff** 5th Floor (202) 906-6853
 E-mail: scott.polakoff@ots.treas.gov
 Education: West Chester; Southern Methodist 1992
- Senior Advisor to the Deputy Director **Sharon Stark** (202) 906-7236
- Equality and Workplace Principles Office Director
- Cheryl C. Wright** 5th Floor (202) 906-6477
 E-mail: cheryl.wright@ots.treas.gov Fax: (202) 906-6104
- FDIC (Federal Deposit Insurance Corporation)
- Associate Director **Claude A. Rollin** 5th Floor (202) 906-6634
 E-mail: claude.rollin@ots.treas.gov
- Chief Librarian **Joseph Thornton** (202) 906-6474
 E-mail: joseph.thornton@do.treas.gov Fax: (202) 906-7591
- Ombudsman **Randy W. Thomas** 5th Floor (202) 906-7945
 E-mail: ombudsman@ots.treas.gov Fax: (202) 906-6260

Chief Counsel

- 1700 G Street, NW, 5th Floor, Washington, DC 20552
 Fax: (202) 906-7606
- Chief Counsel **John E. Bowman** (202) 906-6372
 E-mail: john.bowman@ots.treas.gov
 Education: UC Berkeley BA; Pepperdine JD
- Deputy Chief Counsel for Business Transactions
- Kevin Corcoran** (202) 906-6962
 E-mail: kevin.corcoran@ots.treas.gov
- Deputy Chief Counsel for Litigation **Dirk Roberts** (202) 906-7631
 Fax: (202) 906-6353
- Senior Deputy Chief Counsel for Regulations and Legislation
- Deborah Dakin** (202) 906-6445
 E-mail: deborah.dakin@ots.treas.gov Fax: (202) 906-6518

* Board Member

American Stock Exchange LLC [Amex]

Ownership: Private

86 Trinity Place, New York, NY 10006
Tel: (212) 306-1000
Internet: www.amex.com

Business Description: The American Stock Exchange is a stock exchange that offers trading of equities, options and exchange traded funds (ETFs), including structured products and HOLDRS.



Neal L. Wolkoff
Chairman and Chief Executive Officer

Date of Birth: September 1955
Education: Columbia 1977 BA;
Boston U 1980 JD

Officers and Management

Chairman and Chief Executive Officer
Neal L. Wolkoff* (212) 306-2200
Executive Assistant **Vivian Streeter** (212) 306-1214
Co-Vice Chairman **Phillip Frost*** (212) 306-1000
Education: Pennsylvania 1957 BA;
Albert Einstein Medical 1961 MD
Co-Vice Chairman **James R. Hyde*** (212) 306-1000
President and Chief Operating Officer
Patricia A. Rado* (212) 306-1000
Education: Central Conn State BS;
New Haven MBA
Executive Vice President and Chief Information Officer
Antoine Shagoury (212) 306-1000
Executive Vice President, Development and Strategy
Clifford J. Weber (212) 306-2154
E-mail: clifford.weber@amex.com
Education: Dartmouth; Pennsylvania 1990 MSE
Senior Vice President, Options **Michael T. Bickford** (212) 306-2500
E-mail: mike.bickford@amex.com
Senior Vice President, Corporate Communications and
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* Board Member

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